

0910.03 Transferring Records

Issued January 1, 1994

SUBJECT: Transferring Records.

APPLICATION: Executive Branch Departments and Sub-units.

PURPOSE: To provide uniform procedures for agencies to follow in transferring records to the State Records Center.

CONTACT AGENCY: Department of Management and Budget (DMB) - Office Services, State Records Management Services Section
3405 N. Logan/King Blvd.
Lansing, Michigan 48913.

TELEPHONE: 517/335-9132

FAX: 517/335-9418

SUMMARY: After records have served the agency's immediate administrative needs, many still need to be retained for fiscal, legal or other purposes. It is impractical and costly to retain records in the office once they become relatively inactive. This procedure outlines what an agency must do in order to transfer its records to off-site records storage at the State Records Center.

APPLICABLE FORMS: DMB-501, Records Transmittal Form.
DMB-502, Records Center Container Label.
DMB-504, Retention and Disposal Schedule.

PROCEDURES:

General Information:

- Records transferred for storage may be in any of a variety of media formats. Types of records stored include ordinary paper documents, engineering drawings, X-rays, geological core samples, computer data on magnetic media, microfilm and numerous others. This procedure applies to all type of records except magnetic media, which are covered in Procedure 0910.07.
- Records that are stored in the State Records Center remain under the ownership and custody of the originating agency. The State Records Center maintains security and confidentiality over the records in storage. Only persons authorized by the agency owning the records may have access to them.

Agency:

- Must transfer records to the State Records Center for storage in accordance with its Retention and Disposal Schedule. (See Procedure 0910.01). Records must be listed on a Retention and Disposal Schedule in order to be transferred to the State Records Center for storage.
- To transfer records to the State Records Center, contacts its Records Management Officer.

Records Management Officer:

- Verifies from the agency's Retention and Disposal Schedule, or the General Records Schedule, that it is appropriate for the records to be transferred to the State Records Center.
- Assigns a lot number which will identify each individual transfer of records. No lot numbers are to be duplicated.
- Maintains a list of assigned lot numbers, in numerical sequence, and retains it as a permanent record of all lot numbers issued.

Agency:

- Must pack the records in special records storage containers which are available from DMB's Paper and Stationery Stores and NOT REUSE PREVIOUSLY USED RECORDS CENTER BOXES.
- Determines the appropriate size of box that is needed from the following:
 - For letter or legal size records, use the regular size box, which is 15 x 12 x 9-3/4 inches. (Paper Stores Commodity No. 5830-2520).
 - For maps, tracings and blueprints, use the long box, which is 26 x 12 x 9-3/4 inches. (Paper Stores Commodity No. 5830-7040).
 - For card files and warrants use the small box which is 14-3/4 x 9-1/2 x 4-1/2 inches. (Paper Stores Commodity No. 5830-4174).
- Assures that each box is packed, taped shut and labeled in the following manner prior to being sent to the State Records Center. Failure to do so may result in the State Records Center returning the boxes back to the agency to be properly prepared.
 - Records are to be packed in an organized manner in the same order as they are filed in the office. Do not over-pack the box. Leave 1 inch clearance in each box to facilitate referencing. If it is anticipated that records will need to be added in the future, leave adequate space in the box for the additional files.
 - Face letter size records toward the front of the box which is where the label will be affixed. Face legal size records toward the side of the box that is to the left of the label.
 - Records with differing disposal dates are not to be put together in the same box.
- Uses special labels to identify the container and its contents. To acquire the necessary container labels (DMB-502), call the State Records Center at (517) 335-9132 and they will be supplied without charge.
 - In the appropriate spaces on each label, enter the agency name, total number of containers in the lot being transferred and a brief description of the box contents as listed on the Retention and Disposal Schedule.
 - Sequentially number each container label, starting with number 1. Should an error occur in numbering, do not assign "A & B" suffixes to box numbers, and do not omit or duplicate box numbers.
 - The label is to be affixed in the clearly designated space on the end of the container, and at no other place. DO NOT USE ANY OTHER LABEL THAN THAT SUPPLIED BY THE STATE RECORDS CENTER.
 - The label has a gummed backing. Moisten the label and stick it in the designated place on the box. Do not use tape or glue to fasten it to the box.
 - If questions arise, or if any problems are encountered with packing or labeling the box, contact the State Records Center for assistance.
- Appropriately seals the boxes, after the records have been packed inside, using the following method:
 - First, fold in the end flap that is at the far end of the box opposite from the label.
 - Next, fold in the 2 side flaps so that they lie over the end flap that was just folded in.
 - Then, fold over the remaining end flap, that is at the label end of the box, so that it lies on top of the 2 side flaps that were folded in.
 - Finally, place a strip of kraft or 2-inch wide masking tape across the last end flap which was just folded over, to secure the flap down tightly. Tape should extend fully across that

flap, and approximately half way down the sides of the box, securely holding the box shut.

- Checks to make sure the flap that lies on top, which has been taped down, is the flap that is at the label end of the box. If not, reseal the box properly.
- Checks to make sure that the box is not over-filled with records so that the top or sides bulge. If this occurs, the box must be re-packed, as it may not fit onto the Records Center's shelving.

Agency:

- Completes a Records Transmittal Form (DMB-501) according to the instructions on the form. This form can be acquired at no cost by calling the State Records Center at (517) 335-9132. Information on the transmittal form must coincide accurately with the record descriptions, number of containers and labeling of the records to be transferred.
- If there are more boxes being transferred than can be listed on 1 page of the Records Transmittal, use additional forms.
- Lists each container in sequence. If there are several boxes which all contain like material with the same item number and disposal date, list them all as 1 entry.
For example:

- If there are 20 boxes, all of which contain records of the same description, they may be listed on 1 line of the transmittal as 1-20 in the container column, followed by the appropriate description, inclusive dates, item number and disposal date.

NOTE: The information provided on the Records Transmittal is to enable the agency to identify and locate its records for future referencing. If the agency wishes to provide a more detailed listing of the contents of the containers than that which the State Records Center requires on the transmittal, such as listing each file in a box, the agency may indicate supplemental information on a separate sheet of paper and attach it to the transmittal.

- Calculates the disposal date for the contents of each container by referring to the appropriate item number and retention period on the Retention and Disposal Schedule. Provides the disposal date in the proper column on the transmittal form.
- Provides the EXACT LOCATION WHERE THE RECORDS WILL BE WAITING FOR PICKUP. It must be precise, because this is where Mail and Delivery Services staff will arrive to pick up the records.
- Includes the name and telephone number of a person whom Mail and Delivery Services may contact regarding pickup of the records, if the need arises.
- As a final step, reviews the Records Transmittal to verify that all required information has been provided and is accurate, and obtains the signature of the person authorized to release the records for transfer.
- Retains the gold copy of the multi-part transmittal form, and sends the remaining copies to the State Records Center for review and approval.
- DO NOT SEND THE RECORDS TRANSMITTAL TO THE STATE RECORDS CENTER UNLESS THE BOXES ARE PACKED, LABELED, TAPED SHUT AND IN THE PROPER AREA READY TO BE PICKED UP. This is very important, in order to avoid having Mail and Delivery Section staff arrive to pick up the records and find that they are not ready.

Records Analyst:

- Reviews the Records Transmittal form to see that it has been fully and accurately completed. It will be compared with the appropriate Retention and Disposal Schedule, to verify that the records are scheduled to be transferred to the State Records Center. If major errors exist and/or the records are not due for transfer, the transmittal form will be returned back to the agency with the appropriate notations. (If only minor adjustments need to be made, the analyst may contact the agency to make necessary corrections).
- Will complete the approval process within 2 working days.

Records Center:

- After approval by the analyst, will notify Mail and Delivery Services of the records which are to be picked up.

Agency:

- When a transmittal has been sent to the State Records Center, if the agency finds that the records are not able to be picked up as intended, authorized staff should call the State Records Center to delay pickup until further notice.

Records Center:

- Receives delivery of records described on approved transmittal.
- Verifies accuracy of number of boxes, labeling, and method of packing. If boxes are improperly prepared, may return boxes to agency or require agency to send someone to the Records Center to remedy the problem.
- Places approved records into storage in the State Records Center, forwards the pink copy of the Records Transmittal to the Records Management Officer of the respective department, where it will be retained for future reference, and sends the blue copy to the State Archives.

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